

REFERENCE & ASSOCIATES  
Information Disclosure Statement

Atty. Docket No. YOR920010538US1  
(590.075)

AD 9A4 2644  
#4  
BT  
S-02-02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Chaudhari et al. Group Art: 2644  
Serial No. : 10/039,258 Examiner: not yet assigned  
Filed : January 4, 2002  
For : SPEAKER IDENTIFICATION EMPLOYING A CONFIDENCE MEASURE THAT  
USES STATISTICAL PROPERTIES OF N-BEST LISTS

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HON. ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

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This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, may be deemed to be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application. The submission of this Information Disclosure Statement shall not be construed as a representation that a search has been made or that no other items than those identified herein exist. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:  
  
A:  
B:
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in the prior ☐ Continuation, ☐ Divisional or ☐ Continuation-In-Part application under 37 C.F.R. § 1.60, U.S. Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
4. ☒ No fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:

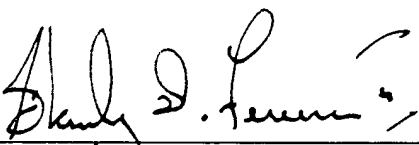
- ☐ 37 C.F.R. § 1.97(b)(1), within three months of the filing date of the above-identified application.
- ☐ 37 C.F.R. § 1.97(b)(2), within three months of the date of entry into the national stage as set forth in § 1.491 in an international application.
- ☒ 37 C.F.R. § 1.97(b)(3), before the mailing date of a first Office action on the merits.
5. ☐ No fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the verifications pursuant to 37 C.F.R. § 1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. § 1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$180.00 is enclosed in payment of the fee.
- ☐ Please charge **IBM Corporation Deposit Account No. 50-0510** the amount of \$180.00, to cover the fee. In the event of non-payment or improper payment of a required fee, the Commissioner is authorized to charge or credit **Deposit Account No. 50-0510** as required to correct the error.
7. ☐ A fee is due under 37 C.F.R. § 1.17(i) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. § 1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. § 1.97(e) set forth in paragraph 9 below; and
  - b. the attached petition requesting consideration of this Information Disclosure Statement; and
  - c. the fee due under 37 C.F.R. § 1.17(i) which is paid as set forth in paragraph 10 below.
8. ☐ A fee is due under 37 C.F.R. § 1.17(i) for this Information Disclosure Statement since it is being filed in compliance with:
- a. ☐ 37 C.F.R. § 1.313(b)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue.
  - b. ☐ 37 C.F.R. § 1.313(b)(5), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue.
  - c. ☐ The fee due under 37 C.F.R. § 1.17(i) is paid as set forth in paragraph 10 below.

9. ☐ I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. ☐ A check in the amount of \$130.00 is enclosed in payment of the fee due under 37 C.F.R. § 1.17(i).

Respectfully submitted,

ERENCE & ASSOCIATES

Dated: 12 March 2002

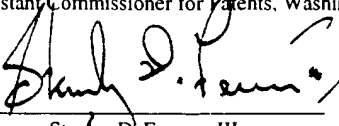
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#### CERTIFICATE OF MAILING

I hereby certify that this correspondence and any documents referred to as enclosed therewith are being deposited with the United States Postal Service as first class mail, addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on 12 March 2002.

  
Stanley D. Ference III  
Reg. No. 33,879

12 March 2002  
Date of Signature

+

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**Complete if Known**

(use as many sheets as necessary)

Sheet	1	of	1
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<b>Application Number</b>	10/039,258
<b>Filing Date</b>	January 4, 2002
<b>First Named Inventor</b>	U.V. CHAUDHARI et al.
<b>Group Art Unit</b>	2644
<b>Examiner Name</b>	Unassigned
<b>Attorney Docket Number</b>	YOR920010538U

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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>†</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	A	U.V. CHAUDHARI et al., "Transformation Enhanced Multi-Grained Modeling for Text-Independent Speaker Recognition", ICSLP 2000, pp. II.298-II.301.	
	B	D.A. REYNOLDS, "Experimental Evaluation of Features for Robust Speaker Identification", IEEE Trans. on Speech & Audio Processing, Vol. 2, No. 4, pp. 639-643, 1994.	
	C	D.A. REYNOLDS et al., "Robust Text-Independent Speaker Identification Using Gaussian Mixture Speaker Models, IEEE Trans. on Speech and Audio Processing, Vol. 3, No. 1, pp. 72-83, Jan. 1995.	

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Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.